

Please type a plus sign (+) inside this box → [+]

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>		Attorney Docket No. 2433-11	
		First Inventor Shang-Ho TSAI et al	
Title METHOD AND APPARATUS FOR SELECTING AN OPTIMAL SWAPPING TECHNIQUE IN DISCRETE MULTI-TONE SYSTEM		Express Mail Label No.	
APPLICATION ELEMENTS		ADDRESS TO: Commissioner for Patents Box Patent Application Washington, DC 20231	
See MPEP chapter 600 concerning utility patent application contents			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>	
3. <input checked="" type="checkbox"/> Specification [Total Pages 27] <i>(preferred arrangement see forth below)</i> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure 		a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies; or ii. <input type="checkbox"/> paper 	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Figs. 1-14 [Total Sheets 8] [Total Sheets 3]		ACCOMPANYING APPLICATION PARTS	
5. Oath or Declaration [Total Sheets 3] <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> <ul style="list-style-type: none"> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 		9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
6. <input checked="" type="checkbox"/> Application Data Sheet See 37 CFR 1.76		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement of Attorney <i>(when there is an assignee)</i>	
		11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>	
		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	
		13. <input type="checkbox"/> Preliminary Amendment	
		14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>	
		16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
		17. <input type="checkbox"/> Other	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div> <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) </div> <div> of prior application No. _____ / _____ </div> </div> <div style="display: flex; justify-content: space-between; align-items: flex-start; margin-top: 5px;"> <div>Prior application information: Examiner _____</div> <div>Group / Art Unit: _____</div> </div>			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		22204 <i>(Insert Customer No. or Attach bar code label here)</i>	
		or <input checked="" type="checkbox"/> Correspondence address below	
Name Donald R. Studebaker		Address NIXON PEABODY LLP	
City McLean		State VA	
Country United States		Zip Code 22102	
Telephone (703) 790-9110		Fax (703) 883-0370	
Name (Print/Type) Donald R. Studebaker		Registration No. (Attorney/Agent) 32,815	
Signature <i>[Signature]</i>		Date 05/07/01	

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

 05/07/01
 jcs12 U.S. PTO

 jcs97 U.S. PTO
 09/849309

 05/07/01
 05

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL FOR FY 2001				<i>Complete if Known</i>																																																																																																																																																																																																	
<i>Patent fees are subject to annual revision.</i>				Application Number	Not Yet Assigned																																																																																																																																																																																																
				Filing Date	May 7, 2001																																																																																																																																																																																																
				First Named Inventor	Shang-Ho TSAI et al																																																																																																																																																																																																
				Examiner Name	Not Yet Assigned																																																																																																																																																																																																
				Group Art Unit	Not Yet Assigned																																																																																																																																																																																																
TOTAL AMOUNT OF PAYMENT		(\$ 750.00)		Attorney Docket No.	2433-11																																																																																																																																																																																																
METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																																																																																																																																	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit Account Number 19-2380 (1440-11) Deposit Account Name NIXON PEABODY LLP 8180 Greensboro Drive Suite 800 McLean, Va. 22102 <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27				3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English transaction</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.29(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>249</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5">* Reduced by Basic Filing Fee Paid</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">SUBTOTAL (3)</td><td style="border: 1px solid black; padding: 2px;">(\$ 40.00)</td></tr> </tbody> </table>		Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English transaction		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.29(b))		179	710	249	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____						* Reduced by Basic Filing Fee Paid						SUBTOTAL (3)					(\$ 40.00)
Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																	
139	130	139	130	Non-English transaction																																																																																																																																																																																																	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																																	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																	
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																	
116	390	216	195	Extension for reply within second month																																																																																																																																																																																																	
117	890	217	445	Extension for reply within third month																																																																																																																																																																																																	
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																																																																																	
128	1,890	228	945	Extension for reply within fifth month																																																																																																																																																																																																	
119	310	219	155	Notice of Appeal																																																																																																																																																																																																	
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																																	
121	270	221	135	Request for oral hearing																																																																																																																																																																																																	
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																	
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																																	
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																																																																	
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																																																	
143	440	243	220	Design issue fee																																																																																																																																																																																																	
144	600	244	300	Plant issue fee																																																																																																																																																																																																	
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																	
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																	
126	240	126	240	Submission of information Disclosure Stmt																																																																																																																																																																																																	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																																
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.29(b))																																																																																																																																																																																																	
179	710	249	355	Request for Continued Examination (RCE)																																																																																																																																																																																																	
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																																	
Other fee (specify) _____																																																																																																																																																																																																					
* Reduced by Basic Filing Fee Paid																																																																																																																																																																																																					
SUBTOTAL (3)					(\$ 40.00)																																																																																																																																																																																																
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other				1. BASIC FILING FEE <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td>\$710.00</td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">SUBTOTAL (1)</td><td style="border: 1px solid black; padding: 2px;">(\$ 710.00)</td></tr> </tbody> </table>		Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	\$710.00	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)					(\$ 710.00)																																																																																																																																																						
Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																
101	710	201	355	Utility filing fee	\$710.00																																																																																																																																																																																																
106	320	206	160	Design filing fee																																																																																																																																																																																																	
107	490	207	245	Plant filing fee																																																																																																																																																																																																	
108	710	208	355	Reissue filing fee																																																																																																																																																																																																	
114	150	214	75	Provisional filing fee																																																																																																																																																																																																	
SUBTOTAL (1)					(\$ 710.00)																																																																																																																																																																																																
2. EXTRA CLAIM FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>14</td> <td>-20** = 0</td> <td>X</td> <td></td> </tr> <tr> <td>Independent Claims</td> <td>3</td> <td>-3** = 0</td> <td>X</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>				Total Claims	Extra Claims	Fee from below	Fee Paid	14	-20** = 0	X		Independent Claims	3	-3** = 0	X	Multiple Dependent				<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td></tr> <tr><td colspan="4" style="text-align: right;">SUBTOTAL (2)</td><td style="border: 1px solid black; padding: 2px;">(\$)</td></tr> </tbody> </table>		Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	103	18	203	9	Claims in excess of 20	102	80	202	40	Independent claims in excess of 3	104	270	204	135	Multiple dependent claim, if not paid	109	80	209	40	** Reissue independent claims over original patent	110	18	210	9	** Reissue claims in excess of 20 and over original patent	SUBTOTAL (2)				(\$)																																																																																																																																													
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																		
14	-20** = 0	X																																																																																																																																																																																																			
Independent Claims	3	-3** = 0	X																																																																																																																																																																																																		
Multiple Dependent																																																																																																																																																																																																					
Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description																																																																																																																																																																																																	
103	18	203	9	Claims in excess of 20																																																																																																																																																																																																	
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																																	
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																																																																	
109	80	209	40	** Reissue independent claims over original patent																																																																																																																																																																																																	
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																	
SUBTOTAL (2)				(\$)																																																																																																																																																																																																	
** or number previously paid, if greater. For Reissues, see above																																																																																																																																																																																																					
SUBMITTED BY				<i>Complete (if applicable)</i>																																																																																																																																																																																																	
Name (Print/Type)		Donald R. Studebaker		Registration No. 32,815																																																																																																																																																																																																	
Signature				Telephone (703) 790-9110																																																																																																																																																																																																	
				Date 5/7/01																																																																																																																																																																																																	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.